

## COVER PAGE LISTING DOCUMENTS BEING TRANSMITTED VIA FACSIMILE

45 Pages Via Facsimile: 571-273-8300  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

## Certificate of Transmission

I hereby certify that this correspondence is being facsimile transmitted to the U.S. Patent and Trademark Office (fax no. 571-273-8300) on January 19, 2007.

  
Cath Pollack, Reg. No. 37,912

Regarding the following Application:

Applicant(S): KLEIN, Steffan  
Gottfried

Examiner: Not yet known

Serial No./ Patent No.: 10/588,275

Group Art Unit: 3625

Filed/Issued Date: August 4, 2006

Attorney Docket No.: P-9035-US

Title: A SYSTEM AND METHOD FOR ELECTRONIC COMMERCE

## Please find:

- |   |   |
|---|---|
| 1. <input type="checkbox"/> Provisional Cover Sheet   | 9. <input type="checkbox"/> Response to Notice to File Missing Parts  |
| 2. <input type="checkbox"/> Utility Patent Application Transmittal  | 10. <input type="checkbox"/> Response to Notice of Incomplete Reply   |
| 3. <input type="checkbox"/> RCE Transmittal Sheet   | 11. <input type="checkbox"/> Request for Correction of Filing Receipt   |
| 4. <input type="checkbox"/> Fee Transmittal Sheet   | 12. <input checked="" type="checkbox"/> Information Disclosure Statement including:<br>- Form PTO/SB/08 and references C-E            |
| 5. <input type="checkbox"/> Patent Application Under 35 USC 111(a)  | 13. <input type="checkbox"/> Preliminary Amendment  |
| <input type="checkbox"/> Provisional Patent Application Under 35 USC 111(b)   | 14. <input type="checkbox"/> Response to Office Action<br>dated _____   |
| <input type="checkbox"/> Transmittal Sheet for Entering National Phase<br>Containing:<br>____ Pages of Specification<br>____ Pages of Claims<br>____ Page of Abstract<br>____ Pages of Formal Drawings<br>____ Pages of _____ | 15. <input type="checkbox"/> Petition for a One Month(s) Extension of Time  |
| 6. <input type="checkbox"/> Signed Declaration & Power of Attorney  | 16. <input type="checkbox"/> Notice of Appeal <input type="checkbox"/> Appeal Brief _____   |
| 7. <input type="checkbox"/> Request for Correction of Recordation of Assign. and:<br>- Recordation Cover Sheet<br>- Copy of Notice of Recordation of Assign.  | 17. <input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Publication Fee   |
| 8. <input type="checkbox"/> Recordation of Assign. Cover Sheet & Signed Assign.   | 18. <input type="checkbox"/> Submission of Formal Drawings: Two sets of<br>____ Sheets containing Figs. _____                         |
|   | 19. <input type="checkbox"/> Copy of Priority Doc.  |
|   | 20. <input type="checkbox"/> Claim for Convention Priority  |
|   | 21. <input type="checkbox"/> Revocation and Power of Attorney, including:<br>- Statement Under 37 CFR 3.73(b)<br>- Copy of Assignment |
|   | 22. <input type="checkbox"/> Other: _____   |

Attorney Docket No.: P-9035-US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): KLEIN, Steffan Gottfried Examiner: Not yet known

Serial No.: 10/588,275 Group Art Unit: 3625

Filed: August 4, 2006

Title: A SYSTEM AND METHOD FOR ELECTRONIC COMMERCE

**RECEIVED  
CENTRAL FAX CENTER  
JAN 19 2007**

Mail Stop Amendment  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 C.F.R. §§1.56, 1.97 and 1.98, this Information Disclosure Statement includes Form PTO/SB/08:

1. ☒ listing documents including patents, publications and other information for consideration by the Examiner, however, since the subject application was filed after June 30, 2003, copies of United States patents and/or United States patent application publications are not included in this information disclosure statement; and/or
2. ☐ listing documents including patents, publications and other information that have been previously cited or submitted to the Patent Office in prior application U.S. Serial No. \_\_\_\_\_, filed \_\_\_\_\_ which is properly identified and relied on for an earlier effective filing date under 35 U.S.C. 120 for consideration by the Examiner; however, in accordance with 37 C.F.R. 1.98(d), copies of such documents are not included in this information disclosure statement; and/or
3. ☒ listing documents including patents, publications, and other information for consideration by the Examiner, copies of which are included with this information disclosure statement;
4. ☒ listing other information for the Examiner's consideration which was cited in a communication from a foreign patent office in a counterpart foreign application, a copy of which is included with this information disclosure statement.

APPLICANTS: KLEIN, Steffan Gottfried  
SERIAL NO.: 10/588,275  
FILED: August 4, 2006  
Page 2

The information herein cited is only in fulfillment of Applicant(s) duty of candor in disclosing all information brought to Applicant(s) attention. This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art". If it should be determined that any of the listed documents do not constitute "prior art" under United States law, Applicant(s) reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Applicant(s) further reserve(s) the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

In accordance with MPEP Sections 609 and 707.05(b), it is requested that each and every document cited (including any cited in applicant's specification which is not repeated on the attached Form PTO-1449) be given thorough consideration and that it be cited of record in the prosecution history of the present application by initialing on Form PTO-1449. Such initialing is requested even if the Examiner does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application and is evidence that the Examiner has considered the document.

This Information Disclosure Statement is being filed:

- I) ☒ Within three (3) months of filing the subject Application or entry of the subject Application into the national stage or before mailing of the first Office Action on the merits of the subject Application or a request for continued examination thereof, whichever event occurs last pursuant to of 37 C.F.R. §1.97 (b); or
- II) ☐ After the period specified in (I) but before the mailing date of either a final Official Action under 37 C.F.R. §1.113 or a notice of allowance under 37 C.F.R. §1.311 whichever occurs first and;

1. ☐ the undersigned hereby states that each item of information listed on the Form PTO-1449 was either (i) cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Information Disclosure Statement or (ii) not cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, not known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this information disclosure statement; or

APPLICANTS:

KLEIN, Steffan Gottfried

SERIAL NO.:

10/588,275

FILED:

August 4, 2006

Page 3

2. ☐ the undersigned hereby authorizes the Patent Office to charge the fee in the amount of \$180.00 under 37 C.F.R. §1.17 (p) to Deposit Account 50-3355.

III) ☐ After the period in (I) and (II) but before the payment of the issue fee and,

1. The undersigned hereby states:

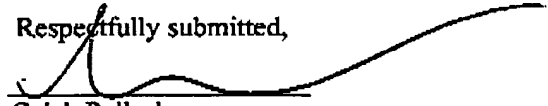
a) ☐ that each item of information cited on the form PTO-1449 was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three (3) months prior to the filing of this Information Disclosure Statement; or

b) ☐ that no items of information contained in Form PTO-1449 was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement; and

2. ☐ The undersigned hereby authorizes the Patent Office to charge the Petition fee in the Amount of \$180.00 under 37 C.F.R. §1.17 (p) to Deposit Account 50-3355.

Except for issue fees payable under 37 C.F.R. §1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R. §§1.16 and 1.17 which may be required, including any required extension of time fees, or credit any overpayment to Deposit Account No. 50-3355.

Respectfully submitted,

  
Caleb Pollack  
Attorney/Agent for Applicant(s)  
Registration No.

Dated: December 26, 2006

Pearl Cohen Zedek Latzer, LLP  
1500 Broadway, 12th Floor  
New York, New York 10036  
Tel: (646) 878-0800  
Fax: (646) 878-0801

PTO/SB/08a (07-05)

Approved for use through 07/31/2008. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/688,275
				Filing Date	August 4, 2006
				First Named Inventor	KLEIN, Steffan Gottfried
				Art Unit	3625
				Examiner Name	Not yet known
				Attorney Docket Number	P-9035-US
Sheet	1	of	1		

 RECEIVED  
 CENTRAL FAX CENTER  
 JAN 19 2007

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A	US-6,780,677	08-04-1998	FOX ET AL.	
	B	US-5,005,200	04-02-1991	FISCHER	
		US-			
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (where appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	C	Netscape, 'SSL 3.0 Specification' March 1996, pp. 1-27, <URL: <a href="http://www.w3.org/TR/WD-DSIG-label-arch-970610">http://www.w3.org/TR/WD-DSIG-label-arch-970610</a> >	<input type="checkbox"/>
	D	Cisco Systems Inc, 'Introduction to Secure Sockets Layer' 14 March 2003, pp.1-12, <URL: <a href="http://www.cisco.com/warp/public/cc/sa/neso/cxne/cxdimng/wpsot_wp.pdf">http://www.cisco.com/warp/public/cc/sa/neso/cxne/cxdimng/wpsot_wp.pdf</a> >	<input type="checkbox"/>
	E	International Search Report of Application No. PCT/AU2005/000113, dated April 18, 2005.	<input type="checkbox"/>
			<input type="checkbox"/>

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1468, Alexandria, VA 22313-1468.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.